



PTO/SB/21 (modified)

Approved for use through xx/xx/xx, OMB 0651-0031

Approved for use through November 30, 2007. GPO 2007-000
Trademark Office: U.S. DEPARTMENT OF COMMERCE

0001/PTO & TRADEMARKS U.S. Department of Commerce
Rev. 10/95 Patent and Trademark Office

TRANSMITTAL FORM

*(to be used for all correspondence during pendency of
filed application)*

erice Office	Application Number	10/017,201
	Filing Date	December 14, 2001
y of	First Named Inventor	Jeffrey D. Walker
	Group Art Unit Number	3663
	Examiner Name	Not yet known
	Attorney Docket Number	21153-05930

ENCLOSURES (*check all that apply*)

- Fee Transmittal Form (in duplicate)
 - Check Enclosed
 - Return Receipt Postcard
 - Response to Notice to File Missing Parts
 - Assignment & Recordation Cover Sheet
 - Declaration
 - Power of Attorney
 - Application Data Sheet
 - Information Disclosure Statement & PTO-1449
 - Copies of IDS Cited References
 - Request for Corrected Filing Receipt
 - Request for Correction of Recorded Assignment
 - Amendment/Response: [] Page(s)
 - After Final
 - Status Request
 - Revocation and Substitute Power of Attorney

- Issue Fee Transmittal
 - Letter to Chief Draftsperson
 - Formal Drawing(s):
 - [] Sheet(s) of Figure(s) []
 - Appeal Communication to Board of Appeals and Interferences
 - Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)
 - Certified Copy of Priority Document(s)
 - After Allowance Communication to Group

RE

GR

**COPY OF PAPERS
ORIGINALLY FILED**

RECEIVED
JUL 16 2002
GROUP 3600

REMARKS: ** IDS references are not included in the total pages submitted.

SIGNATURE OF ATTORNEY OR AGENT

Signature:

Robert Wahr

Attorney/Reg. No.:

Michael Weber, Registration No. 50-951

Dated:

June 28, 2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: BOX NON-FEE AMENDMENT, Commissioner for Patents, Washington, D.C. 20231 on the date shown below.

Signature:

Michael Wahr

Typed or Printed Name:

Michael Weber

Dated:

June 28 2002

Express Mail Mailing Number (optional):

PATENT

#4/IDS
7/24/02



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Jeffrey D. Walker et al.

APPLICATION NO.: 10/017,201

FILING DATE: December 14, 2001

TITLE: Optical Receiver Including Linear Semiconductor Optical Amplifier

CONFIRMATION NO: 6333

COPY OF PAPERS
ORIGINALLY FILED

EXAMINER: Not yet known

GROUP ART UNIT: 3662

ATTY. DKT. NO.: 21153-05930

RECEIVED

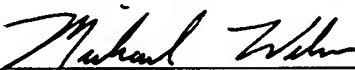
JUL 16 2002

GROUP 3600

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: BOX NON-FEE AMENDMENT, Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated: June 28, 2002

By: 

Michael Weber, Registration No. 50,951

BOX NON-FEE AMENDMENT
COMMISSIONER FOR PATENTS
WASHINGTON, DC. 20231

INFORMATION DISCLOSURE STATEMENT
Under 37 CFR §§ 1.56 and 1.97-98

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO-1449 listing references for consideration by the Examiner.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

- within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;
- before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;
- after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
 - attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
 - Applicant certifies pursuant to 37 CFR § 1.97(e) that:
 - each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
 - no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
 - before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
 - Applicant certifies pursuant to 37 CFR. § 1.97(e) that:
 - each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not

- more than three months prior to the filing of this Statement; or
- no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND
- attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
- after the payment of the issue fee. Applicant request that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. 10/014,679, filed on December 11, 2001, and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,
JEFFREY D. WALKER et al.

Dated: June 28, 2002

By: Michael Weber
Michael R. Weber, Registration No. 50,951
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Telephone: (415) 875-2494
Facsimile: (415) 281-1350

FORM PTO-1449
(REV. 6-89)



U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Attorney's Docket No.
21153-05930

Serial No.
10/017,201

INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

Applicant
Jeffrey D. Walker et al.

Filing Date
December 14, 2001

Group Art Unit
3663

U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
		3,467,906	09/16/69	Cornely et al.	330	4.3	
		3,828,231	08/06/74	Yamamoto	357	30	
		4,794,346	12/27/88	Miller	330	4.3	
		5,436,759	7/25/95	Dijaili et al.	359	333	
		5,949,807	09/07/1999	Fujimoto et al.	372	45	
		5,960,024	09/28/1999	Li et al.	372	96	
		6,044,100	03/28/2000	Hobson et al.	372	46	
		6,115,517	09-05-00	Shiragaki et al.	385	24	

FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
		JP 01129483	11/14/87	Japan	H01S	3/18		No
		JP 10190147	07/21/98	Japan	H01S	3/18		No
		JP 56006492	01/23/81	Japan	H01S	3/18		No

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

A	Alcatel, "Alcatel Optronics introduces a Gain-Clamped Semiconductor Optical Amplifier," <i>Press Release for Immediate Publication</i> , OFC '98, San Jose (Feb. 1998), 1 unnumbered page.
B	Bauer, B. et al., "Gain Stabilization of a Semiconductor Optical Amplifier by Distributed Feedback," <i>IEEE Photonics Technology Letters</i> , Vol. 6, No. 2 (Feb. 1994), pages 182-185.
C	Dorgeuille, F., et al., "1.28 Tbit/s Throughput 8x8 Optical Switch Based on Arrays of Gain-Clamped Semiconductor Optical Amplifier Gates," <i>Optical Fiber Communication Conference</i> , Vol. 4, Pages 221-223, March 2000.
D	Dorgeuille, F., et al., H., "Fast Optical Amplifier Gate Array for WDM Routing and Switching Applications," <i>OFC '98 Technical Digest</i> , Pages 42-44, 1998.
E	Doussiere, P. et al., "Clamped Gain Travelling Wave Semiconductor Optical Amplifier for Wavelength Division Multiplexing Applications," Maui, Hawaii, Sept. 19-23, 1994, New York, IEEE, US, Vol. Conf. 14 (9/14/94), pages 185-186.
F	Evankow, Jr., J.D., et al., "Photonic Switching Modules Designed with Laser Diode Amplifiers," <i>IEEE Journal on Selected Areas in Communications</i> , Vol. 6, No. 7, Pages 1087-1095, August 1988.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

PTO-1449
REV: 02/01

COPY OF PAPERS
ORIGINALLY FILED

RECEIVED

JUL 16 2002

GROUP 3600

21153/05930/DOCS/1277679.1

FORM PTO-1449 (REV. 6-89)				U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office		Attorney's Docket No. 21153-05930	Serial No. 10/017,201
INFORMATION DISCLOSURE CITATION				Applicant Jeffrey D. Walker et al.			
(Use several sheets if necessary)				Filing Date December 14, 2001	Group Art Unit 3662		
U.S. PATENT DOCUMENTS							
Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
FOREIGN PATENT DOCUMENTS							
		Document Number	Date	Country	Class	Subclass	Translation
							Yes No
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
	G	Gee, S. et al., "High-Power Mode-Locked External Cavity Semiconductor Laser Using Inverse Bow-Tie Semiconductor Optical Amplifiers," <i>IEEE Journal of Selected Topics in Quantum Electronics</i> , Vol. 4, No. 2, March/April 1998, pages 209-215.					
	H	Jeong, G., et al., "Gain Optimization in Switches Based on Semiconductor Optical Amplifiers," <i>Journal of Lightwave Technology</i> , Vo. 13, No. 4, Pages 598-605, April 1995.					
	I	Joyner, C.H. et al., "Extremely Large Band Gap Shifts for MQW Structures by Selective Epitaxy on SiO ₂ Masked Substrates," <i>IEEE Photonics Technology Letters</i> , Vol. 4, No. 9 (Sept. 1992), pp. 1006-1009.					
	J	Kitamura, S., et al., "Spot-Size Converter Integrated Semiconductor Optical Amplifiers for Optical Gate Applications," <i>IEEE Journal of Quantum Electronics</i> , Vol. 35, No. 7, Pages 1067-1074, July 1999.					
	K	Koyama, F., et al., "Multiple-Quantum-Well GaInAs/GaInAsP Tapered Broad-Area Amplifiers with Monolithically Integrated Waveguide Lens for High-Power Applications," <i>IEEE Photonics Technology Letters</i> (August 1993), Vol. 5, No. 8, pages 916-919.					
	L	Leuthold, J., et al., "All-Optical Space Switches with Gain and Principally Ideal Extinction Ratios," <i>IEEE Journal of Quantum Electronics</i> , Vol. 34, No. 4, Pages 622-633, April 1998.					
	M	McAdams, L.R. et al., "Linearizing High Performance Semiconductor Optical Amplifiers: Techniques and Performance," LEOS Presentation (1996), pages 363-364.					
	N	Mutalik, V.G. et al., "Analog performance of 1310-nm gain-clamped semiconductor optical amplifiers," <i>OFC '97 Technical Digest</i> , Thursday Morning, 11:15 AM, pages 266-267.					
	O	Simon, J.C. et al., "Travelling wave semiconductor optical amplifier with reduced nonlinear distortions," <i>Electronics Letters</i> , Vol. 30, No. 1 (Jan 6, 1994), pages 49-50.					
	P	Soulage, G. et al., "Clamped Gain Travelling Wave Semiconductor Optical Amplifier as a Large Dynamic Range Optical Gate," Alcatel Alsthom Recherche, route de Nozay, 91460 Marcoussis, France, undated, 4 unnumbered pages.					
	Q	Tai, C., et al., "Dynamic Range and Switching Speed Limitations of an N x N Optical Packet Switch Based on Low-Gain Semiconductor Optical Amplifiers," <i>IEEE Journal of Lightwave Technology</i> , Vol. 14, No. 4, Pages 525-533, April 4, 1996.					
	R	Tiemeijer, L.F. et al., "1310-nm DBR-Type MQW Gain-Clamped Semiconductor Optical Amplifiers with AM-CATV-Grade Linearity," <i>IEEE Photonics Technology Letters</i> , Vol. 8, No. 11 (Nov. 1996), pages 1453-1455.					
EXAMINER				DATE CONSIDERED			
EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

RECEIVED

JUL 16 2002

GROUP 3600



Sheet 3 of 3

FORM PTO-1449 (REV. 6-89) U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)				Attorney's Docket No. 21153-05930	Serial No. 10/017,201		
				Applicant Jeffrey D. Walker et al.			
				Filing Date December 14, 2001	Group Art Unit 3662		
U.S. PATENT DOCUMENTS							
Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
FOREIGN PATENT DOCUMENTS							
		Document Number	Date	Country	Class	Subclass	Translation
							Yes No
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
S	Tiemeijer, L.F. et al., "High-Gain 1310 nm Semiconductor Optical Amplifier Modules with a Built-in Amplified Signal Monitor for Optical Gain Control," <i>IEEE Photonics Technology Letters</i> , Vol. 9, No. 3 (March 1997), pages 309-311.						
T	Tiemeijer, L.F. et al., "Reduced Intermodulation Distortion in 1300 nm Gain-Clamped MQW Laser Amplifiers," <i>IEEE Photonics Technology Letters</i> , Vol. 7, No. 3 (March 1995), pages 284-286.						
U	Toptchiyski, G., et al., "Time-Domain Modeling of Semiconductor Optical Amplifiers for OTDM Applications," <i>IEEE Journal of Lightwave Technology</i> , Vol. 17, No. 12, Pages 2577-2583, December 1999.						
V	van Roijen, R., et al., "Over 15 dB Gain from a Monolithically Integrated Optical Switch with an Amplifier," <i>IEEE Photonics Technology Letters</i> , Vol. 5, No. 5, Pages 529-531, May 1993.						
W	Walker, J.D. et al., "A Gain-Clamped, Crosstalk Free, Vertical Cavity Lasing Semiconductor Optical Amplifier for WDM Applications," summaries of the papers presented at the topical meeting, Integrated Photonics Search; 1996 Technical Digest Series; Proceedings of Integrated Photonics; Boston, MA, USA, 29.04-02.05 1996, Vol. 6, 1996, pages 474-477.						
EXAMINER				DATE CONSIDERED			
EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

PTO-1449
REV: 02/01COPY OF PAPERS
ORIGINALLY FILED
Original